

Section 106 Review Process

Section 106 Process Basics:

- The Section 106 process determines whether a property is historic (one that is either listed in or eligible for inclusion in the National Register of Historic Places) and to insure work doesn't significantly and unnecessarily alter, damage, or destroy both above and below ground historic and/or cultural resources.
- Federal financial assistance (grants or loans) triggers the Section 106 review.
- Even if you don't consider your project to fall under these requirements or to be a historical property, you must still undergo this process.
- Even if you have submitted information for Section 106 review in the past, you must still undergo this process, as it is project-specific.
- No exceptions will be made.

Helpful Info:

- Adhere to the timeframe the Office of Energy Development has provided to you. Do not send in this information to SHPO the same day you submit your application! OED will take this into consideration and it will affect your score.
- It is the applicant's responsibility to start this process and provide all information to SHPO.
- If you receive a response from SHPO requesting additional information, do not ignore the letter, but send in the additional information that has been requested.
- Visit <http://www.in.gov/dnr/historic/2830.htm> for additional information about the Section 106 process.

Process:

- Once the State Historic Preservation Officer (SHPO), within the Indiana Department of Natural Resources (DNR), receives your information, SHPO will comment on whether potentially historic properties or areas may or will be affected and how adverse effects on historic property may be avoided, reduced, or mitigated.
- SHPO's comments will be sent back to the applicant. SHPO has 30 days to respond to these applications. **As it is the responsibility of the applicant to begin the Sec. 106 process in advance, telephone calls and questions sent to SHPO about your status can further delay the review process.**
- The applicant should not issue a finding. Although this is typical practice, another entity's finding will not be accepted.
- Upload an electronic copy of SHPO's letter with your application.
- If you have not received a response from SHPO by the application due date, you should include a letter of assurance from your highest official (examples: mayor, president of the company, non-profit executive director) telling us that you have started this process and what date your information was sent to SHPO. Please also submit a copy of the information you provided to SHPO.

Compile and submit the following information to SHPO:

- ☐ Review Request Submittal Form found here: <http://www.in.gov/dnr/historic/7440.htm>
 - Use this as the cover sheet for your submission

- ☐ Letter (following this page) from OED's Program Manager to the Department of Natural Resources acknowledging permission for applicants to begin the Section 106 Review process for the WTP grant.
- ☐ Letter from the applicant to SHPO and specify the following:
 - Indiana Office of Energy Development, Wastewater Treatment Plant Grant (as the state agency and grant program)
 - U.S. Department of Energy (as the federal agency)
- ☐ Name, mailing address, phone number and email address of contact person sending the letter.
- ☐ Address(es) of project location(s)
- ☐ Project narrative that specifically describes the project and project site. Questions to keep in mind include:
 - What is the project?
 - What sort of equipment are you working on? Also provide a location of this equipment within a building.
 - How will the building housing said equipment be disturbed during this project?
- ☐ Description of potential effects; may be visual and/or narrative
- ☐ Map of the area surrounding the proposed building(s) for project
- ☐ Approximate date of construction for building(s)
- ☐ Any known historical significance of any buildings, structure or objects within the Area of Potential Effects (APE)
- ☐ Description of existing condition of vacant land that would be disturbed by construction and where previous disturbance has occurred.
- ☐ Sources of information about buildings and about condition of vacant land that could be disturbed. SHPO suggests referencing the county interim report (many of the counties are available online: <http://indiamond6.ulib.iupui.edu/cdm/search/collection/IHSSI>) and/or the State Historic Architectural and Archaeological Research Database (SHAARD) which is available at <http://www.in.gov/dnr/historic/4505.htm>. If you are doing projects in Gibson, Warrick, Pike, Martin, Daviess, Clark or Allen (not including the City of Fort Wayne) counties you will need to use the SHAARD database as those counties have been resurveyed and the interim reports are now out of date.
- ☐ Recent photographs of the building(s) and potential project location.

Send information to:

Indiana Department of Natural Resources
 Division of Historic Preservation & Archaeology
 Attn: Ashley Thomas
 402 West Washington Street, Room W274
 Indianapolis, IN 46204



August 31, 2015

Rob Carter, Director & State Historic Preservation Officer
Indiana Department of Natural Resources
Division of Historic Preservation & Archaeology
c/o Ashley Thomas
402 West Washington Street, Room W 274
Indianapolis, IN 46204

Dear Mr. Carter,

The Indiana Office of Energy Development gives any applicants of the Wastewater Treatment Plan Grant Program the approval to begin the Section 106 review process. For this program only, I respectfully request you copy me on all correspondence to applicants if possible.

If you have any questions, please contact me at (317) 232-8939 or by email at grants@oed.in.gov.

Sincerely,

A handwritten signature in black ink that reads "Megan Ottesen". The signature is written in a cursive, flowing style.

Megan Ottesen
Deputy Director